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12973 U.S. PTO

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JC921 U.S. PTO  
02/28/00  
12/01/00

BOX PATENT APPLICATION  
ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

**Express Mail No.: EK896716746US**

**Attorney Docket No.: 2002850-0009**

**Date Filed: December 1, 2000**

**UTILITY PATENT APPLICATION TRANSMITTAL**

(FOR NEW NONPROVISIONAL APPLICATIONS UNDER 37 C.F.R. § 1.53(B))

Dear Sir:

Please find enclosed a patent application and papers as follows for:

**Inventor(s):**

Given Name (first and middle)	Family Name or Surname	Residence (City and State or Foreign Country)
Steven K. H.	Foung	Stanford, California
Kenneth G.	Hadlock	San Francisco, California
Zhen-yong	Keck	Redwood City, California

**Title of the Invention:** PREVENTION AND TREATMENT OF HCV INFECTION  
EMPLOYING ANTIBODIES DIRECTED AGAINST CONFORMATIONAL EPITOPES

**A) APPLICATION ELEMENTS:**

1) X **Fee Transmittal Form** (original and duplicate submitted for fee processing)

2) X **Applicant Claims Small Entity Status** (see 37 CFR 1.27)

a) X **Statement Verifying Small Entity Status** (optional)

EXPRESS MAIL NO.: EK896716746US

DATE FILED: DECEMBER 1, 2000

PAGE 1 OF 4

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3) X **Specification**

TOTAL PAGES: 101

- Descriptive Title of the Invention
- Cross References to Related Applications (if applicable)
- Statement Regarding Federally Sponsored R & D (if applicable)
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Summary of the Invention
- Description of the Drawing (if filed)
- Detailed Description of the Invention
- Claim(s)
- Abstract of the Invention

4) X **Drawing(s)** (35 U.S.C. § 113)

TOTAL SHEETS: 29

- a)      Formal Drawings (if checked)

5) X **Oath or Declaration**

TOTAL PAGES: 3

- a)      Newly Executed (original or copy)
- b)      Copy from a prior application (37 C.F.R. § 1.63(d))-for continuation/divisional application
- i)      DELETION OF INVENTOR(S): Signed Statement deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
- c) X Unexecuted

6)      **Application Data Sheet**. See 37 CFR 1.76.

7)      **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**

8) X **Nucleotide and/or Amino Acid Sequence Submission** (if applicable, all are necessary)

- a) X Computer Readable Form (CRF)
- b) X Specification Sequence Listing on:
- i)      CD-ROM or CR-R (2 copies); or
- ii) X Paper
- c) X Statements verifying identity of above copies

B) ACCOMPANYING APPLICATION PARTS:

- 9) X **Assignment Papers** (cover sheet & document(s))
- 10) X **37 C.F.R. § 3.73(b) Statement** (when there is an assignee)
- 11) X **Power of Attorney**
- 12)     **English Translation Document** (if applicable)
- 13)     **Information Disclosure Statement (IDS)/PTO-1449**
- 14)     **Copies of IDS Citations**
- 15)     **Preliminary Amendment**
- 16) X **Return Receipt Postcard (MPEP 503)** (specifically itemized)
- 17)     **Certified Copy of Priority Document(s)** (if foreign priority is claimed)
- 18)     **OTHER:** (if applicable, specified below)

C) FOR CONTINUING APPLICATIONS: (the appropriate box is checked, and certain information is provided below and in a preliminary amendment)

    CONTINUATION                          DIVISIONAL                      X CONTINUATION-IN-PART (CIP)

OF PRIOR APPLICATION NO: 09/430,489

FILED: OCTOBER 29, 1999

EXAMINER: NOT YET ASSIGNED

GROUP/ART UNIT: 1643

**FOR CONTINUATION OR DIVISIONAL APPLICATIONS ONLY:** The entire disclosure of the prior application, from which an oath or declaration is supplied as detailed above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

D) METHOD OF PAYMENT OF FILING FEES FOR THIS APPLICATION:

- ☒ Applicant claims small entity status 37 CFR 1.27
- ☒ A check is enclosed to cover the filing fees as determined on the fee transmittal enclosed herewith
- ☒ The commissioner is hereby authorized to charge filing fees or credit any overpayment to deposit account number 03-1721.

Total filing fee amount \$2,555.00

E) CORRESPONDENCE ADDRESS:

\_\_\_\_ Customer Bar Code Label: \_\_\_\_\_

☒ Correspondence Address:

C. Hunter Baker, M.D., Ph.D.  
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53 State Street  
Exchange Place  
Boston, MA 02109  
phone: (617) 248-5000  
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Respectfully Submitted,



C. Hunter Baker, M.D., Ph.D.  
Reg. No.: 46,533

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12/01/00

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**for FY 2001**

*Patent fees are subject to annual revision.*

Application Number	
Filing Date	December 1, 2000
First Named Inventor	Foung, Steven K.H.
Examiner Name	
Group Art Unit	
Attorney Docket No.	2002850-0009

<b>TOTAL AMOUNT OF PAYMENT</b>	<b>(\$)<u>2,555.00</u></b>
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**FEE CALCULATION** (continued)

- |                              |         |
|------------------------------|---------|
| Deposit<br>Account<br>Number | 30-1721 |
| Deposit<br>Account<br>Name   |         |

- ☒ Applicant claims small entity status.  
See 37 CFR 1.27

- ☒
- Check
- ☐
- Credit card
- ☐
- Money Order
- ☐
- Other

### 1. BASIC FILING FEE

	Large Entity	Small Entity
1. <b>Revenue</b>	\$10,000,000	\$1,000,000
2. <b>Cost of Sales</b>	(6,000,000)	(600,000)
3. <b>Gross Profit</b>	\$4,000,000	\$400,000
4. <b>Operating Expenses</b>	(2,000,000)	(200,000)
5. <b>Operating Income</b>	\$2,000,000	\$200,000
6. <b>Interest Expense</b>	(500,000)	(50,000)
7. <b>Income Before Tax</b>	\$1,500,000	\$150,000
8. <b>Income Tax Expense</b>	(300,000)	(30,000)
9. <b>Net Income</b>	\$1,200,000	\$120,000
10. <b>Dividends</b>	(600,000)	(60,000)
11. <b>Retained Earnings</b>	\$600,000	\$60,000

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	

101	710	201	355	Utility filing fee
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106	320	206	160	Design filing fee
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107	490	207	245	Plant filing fee
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108	710	208	355	Reissue filing fee
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114	150	214	75	Provisional filing fee
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**SUBTOTAL (1)** (\$)**355.00**

	Extra Claims	Fee from below	Fee Paid
Total Claims	165	20** = 145	9.00 = \$1,305
Independent Claims	22	3** = 19	40 = 760
Multiple Dependent			135 = 135

**Large Entity   Small Entity**

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
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103	18	203	9	Claims in excess of 20
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102	80	202	40	Independent claims in excess of 3
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104	270	204	135	Multiple dependent claim, if not paid
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109 80 209 40 \*\* Reissue independent claims  
over original patent

110	18	210	9	** Reissue claims in excess of 20 and over original patent
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<b>SUBTOTAL (2)</b>	<b>(\$)</b> 2,555.00
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Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

<b>SUBTOTAL (3)</b>	<b>(\$)</b>
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## Complete (if applicable)

Name (Print/Type)	C. Hunter Baker, M.D., Ph.D.
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Registration No. (Attorney/Agent)	46,533
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Telephone	617-248-5000
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**Signature**

<i>Date</i>	12/1/00
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**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.